

Consent Letter of Inclusion in Personal Information Collection Statement Concerning Securities Trading (Hong Kong and Stock Connect Northbound Market)

證券交易個人資料收集同意書 (香港及滬深港通北向市場)

日期 Date : _____

甲部：處理個人資料屬執行香港證券交易之一部份

Part A: Processing of Personal Data as part of the Hong Kong Securities Trading

閣下明白並同意，上海商業銀行有限公司為了向閣下提供與在香港聯合交易所（聯交所）上市或買賣的證券相關的服務，以及為了遵守不時生效的聯交所與證券及期貨事務監察委員會（證監會）的規則和規定，本行可收集、儲存、處理、使用、披露及轉移與閣下有關係的個人資料（包括閣下的客戶識別信息及券商客戶編碼）。在不限制以上的內容的前提下，當中包括——
You acknowledge and agree that Shanghai Commercial Bank Limited may collect, store, process, use, disclose and transfer personal data relating to you (including your Client Identification Data (“CID”) and Broker-to-Client Assigned Number(s) (“BCAN(s)”) as required for us to provide services to you in relation to securities listed or traded on the Stock Exchange of Hong Kong (SEHK) and for complying with the rules and requirements of SEHK and the Securities and Futures Commission (SFC) in effect from time to time. Without limiting the foregoing, this includes –

(a) 根據不時生效的聯交所及證監會規則和規定，向聯交所及／或證監會披露及轉移閣下的個人資料（包括客戶識別信息及券商客戶編碼）；

disclosing and transferring your personal data (including CID and BCAN(s)) to SEHK and/or the SFC in accordance with the rules and requirements of SEHK and the SFC in effect from time to time;

(b) 允許聯交所：(i)收集、儲存、處理及使用閣下的個人資料（包括客戶識別信息及券商客戶編碼），以便監察和監管市場及執行《聯交所規則》；(ii)向香港相關監管機構和執法機構（包括但不限於證監會）披露及轉移有關資料，以便他們就香港金融市場履行其法定職能；及(iii)為監察市場目的而使用有關資料進行分析；

allowing SEHK to: (i) collect, store, process and use your personal data (including CID and BCAN(s)) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange of SEHK; and (ii) disclose and transfer such information to the relevant regulators and law enforcement agencies in Hong Kong (including, but not limited to, the SFC) so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets; and (iii) use such information for conducting analysis for the purposes of market oversight;

(c) 允許證監會：(i)收集、儲存、處理及使用閣下的個人資料（包括客戶識別信息及券商客戶編碼），以便其履行法定職能，包括對香港金融市場的監管、監察及執法職能；及(ii)根據適用法例或監管規定向香港相關監管機構和執法機構披露及轉移有關資料；及

allowing the SFC to: (i) collect, store, process and use your personal data (including CID and BCAN(s)) for the performance of its statutory functions including monitoring, surveillance and enforcement functions with respect to the Hong Kong financial markets; and (ii) disclose and transfer such information to relevant regulators and law enforcement agencies in Hong Kong in accordance with applicable laws or regulatory requirements; and

(d) 向香港中央結算有限公司（香港結算）提供券商客戶編碼以允許香港結算：(i)從聯交所取得、處理及儲存允許披露及轉移給香港結算屬於閣下的客戶識別信息，及向發行人的股份過戶登記處轉移閣下的客戶識別信息，以便核實閣下未就相關股份認購進行重複申請，以及便利首次公開招股抽籤及首次公開招股結算程序；及(ii)處理及儲存閣下的客戶識別信息，及向發行人、發行人的股份過戶登記處、證監會、聯交所及其他公開招股的有關各方轉移閣下的客戶識別信息，以便處理閣下對有關股份認購的申請，或為載於公開招股發行人的招股章程的任何其他目的。

providing BCAN to Hong Kong Securities Clearing Company Limited (HKSCC) allowing HKSCC to: (i) retrieve from SEHK (which is allowed to disclose and transfer to HKSCC), process and store your CID and transfer your CID to the issuer's share registrar to enable HKSCC and/ or the issuer's share registrar to verify that you have not made any duplicate applications for the relevant share subscription and to facilitate IPO balloting and IPO settlement; and (ii) process and store your CID and transfer your CID to the issuer, the issuer's share registrar, the SFC, SEHK and any other party involved in the IPO for the purposes of processing your application for the relevant share subscription or any other purpose set out in the IPO issuer's prospectus.

閣下亦同意，即使閣下其後宣稱撤回同意，本行在閣下宣稱撤回同意後，仍可繼續根據香港個人資料(私隱)條例(第486章)儲存、處理、使用、披露或轉移閣下的個人資料以作上述用途。

You also agree that despite any subsequent purported withdrawal of consent by you, your personal data may continue to be stored, processed, used, disclosed or transferred for the above purposes after such purported withdrawal of consent in accordance with the Personal Data (Privacy) Ordinance of Hong Kong (Cap.486).

閣下如未能向本行提供個人資料或上述同意，可能意味著本行不會或不能夠再（視情況而定）執行閣下的交易指示或向閣下提供證券相關服務，惟出售、轉出或提取閣下現有的證券持倉（如有）除外。

Failure to provide us with your personal data or consent as described above may mean that we will not, or will no longer be able to, as the case may be, carry out your trading instructions or provide you with securities related services (other than to sell, transfer out or withdraw your existing holdings of securities, if any).

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乙部：處理個人資料屬執行滬深港通北向交易之一部份

Part B: Processing of Personal Data as part of the Stock Connect Northbound Trading

自 2022 年 7 月 25 日起，中國證券監督管理委員會(中國證監會)限制內地投資者(詳情見以下註 1) 不得通過滬深港通北向交易主動買入中華通證券(包括參與配股)。故此閣下簽回本同意書後，本行會紀錄存檔，並根據以上中國證監會之規定，只有在閣下並非內地投資者時(詳情見以下註 1)，才能為閣下提供滬深港通北向交易服務。

Effective from 25 July, 2022, China Securities Regulatory Commission restricted Mainland Investors (details as described in Note 1 below) who shall not proactively buy any China Connect Securities through Northbound Trading under Stock Connect (including subscription for right issues). Accordingly, your signed and returned Consent Letter will be kept in our record, and in accordance with the rule prescribed by CSRC, we can only provide Stock Connect Northbound Trading Service to you when you are not Mainland Investors (details as described in Note 1 below).

閣下 確認及同意本行向 閣下提供滬深港通北向交易服務時，本行將需要：

You acknowledge and agree that in providing our Stock Connect Northbound Trading Service to you, we will be required to:

(i) 在每一宗提交給滬深港通交易系統之北向買賣盤中將附加 閣下獨特之券商客戶編碼，及 tag each of your orders submitted to the China Stock Connect System (CSC) with a BCAN(s) that is unique to you, and

(ii) 向聯交所提供 閣下之券商客戶編碼及聯交所不時根據交易所規則要求之與 閣下相關之客戶識別信息。 provide to the SEHK your assigned BCAN(s) and such identification information CID relating to you as the SEHK may request from time to time under the Rules of the SEHK.

在不受本行曾給予 閣下之通知或 閣下給予本行有關本行就 閣下賬戶及本行服務而處理之 閣下個人資料之同意的限制下，閣下確認並同意本行可能會收集、儲存、使用、披露及根據需要轉交與 閣下有關係的個人資料作為本行向 閣下提供滬深港通北向交易服務的一部分，包括以下內容：

Without limitation to any notification we have given you or consent we have obtained from you in respect of the processing of your personal data in connection with your account and our services to you, you acknowledge and agree that we may collect, store, use, disclose and transfer personal data relating to you as required as part of our Stock Connect Northbound Trading Service, including as follows:

(a) 不時向聯交所及其就滬深港通而成立的各子公司(「聯交所子公司」)披露及轉移 閣下之券商客戶編碼及客戶識別信息，包括在提交給聯交所子公司的北向買賣盤中附加 閣下之券商客戶編碼，該等買賣盤再由聯交所子公司實時轉遞至中華通市場營運者；

to disclose and transfer your BCAN(s) and CID to the SEHK and the relevant SEHK Subsidiaries from time to time, including by indicating your BCAN(s) when inputting a China Connect Order into the CSC, which will be further routed to the relevant China Connect Market Operators on a real-time basis;

(b) 同意聯交所及聯交所子公司:(i) 收集、使用及儲存(由任何一方或透過香港交易所儲存) 閣下之券商客戶編碼、客戶識別信息，及任何中華通結算所提供用作市場監控和監察目的及執行《交易所規則》之已經綜合、核實及配對之券商客戶編碼及客戶識別信息;(ii) 不時向中華通市場營運者(直接或透過中華通結算所)轉移此等資料以達到下文(c)和(d)所述的目的;(iii) 向在香港的相關監管機構及執法機關披露此等資料，以助他們履行有關香港證券市場的監控、監察及法定職能；

to allow each of the SEHK and the relevant SEHK Subsidiaries to: (i) collect, use and store your BCAN(s), CID and any consolidated, validated and mapped BCAN(s) and CID information provided by the relevant China Connect Clearing House (in the case of storage, by any of them or via HKEX) for market surveillance and monitoring purposes and enforcement of the Rules of the SEHK; (ii) transfer such information to the relevant China Connect Market Operator (directly or through the relevant China Connect Clearing House) from time to time for the purposes set out in (c) and (d) below; and (iii) disclose such information to the relevant regulators and law enforcement agencies in Hong Kong so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets;

(c) 容許相關中華通結算所:(i) 收集、使用及儲存 閣下之券商客戶編碼及客戶識別信息，以便綜合及核實 閣下之券商客戶編碼與客戶識別信息，並將此類信息與投資者身份數據庫進行配對，以提供給中華通市場營運者、聯交所和聯交所子公司;(ii) 使用此類信息來協助其履行證券賬戶管理的監管職能;(iii) 向管轄中國結算的內地監管機構及執法機關披露此等資料，以助他們履行監控、監察及執法職能；及

to allow the relevant China Connect Clearing House to: (i) collect, use and store your BCAN(s) and CID to facilitate the consolidation and validation of BCAN(s) and CID and the mapping of BCAN(s) and CID with its investor identification database, and provide such consolidated, validated and mapped BCAN(s) and CID information to the relevant China Connect Market Operator, the SEHK and the relevant SEHK Subsidiary; (ii) use your BCAN(s) and CID for the performance of its regulatory functions of securities account management; and (iii) disclose such information to the Mainland regulatory authorities and law enforcement agencies having jurisdiction over it so as to facilitate the performance of their regulatory, surveillance and enforcement functions with respect to the Mainland financial markets; and

(d) 容許相關中華通市場營運者:(i) 收集、使用及儲存 閣下之券商客戶編碼及客戶識別信息，以助其就滬深港通下在中華通市

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場營運者進行的證券交易進行監管與監察及執行內地交易所規則；及(ii) 向內地的監管機構及執法機關披露此等資料，以助他們履行有關內地證券市場的監管、監察及執法職能。

to allow the relevant China Connect Market Operator to: (i) collect, use and store your BCAN(s) and CID to facilitate their surveillance and monitoring of securities trading on the relevant China Connect Market through the use of the China Connect Service and enforcement of the rules of the relevant China Connect Market Operator; and (ii) disclose such information to the Mainland regulatory authorities and law enforcement agencies so as to facilitate the performance of their regulatory, surveillance and enforcement functions with respect to the Mainland financial markets.

就任何與滬深港通證券有關的交易向本行發出指示，即表示閣下確認並同意，本行可能會不時使用閣下的個人資料以遵守聯交所的規則。閣下也確認，儘管閣下隨後表示撤回同意，但於閣下撤回同意前本行已收集之任何閣下的個人資料可繼續被儲存、使用、披露、轉讓及以其他方式處理，以用於上述目的，無論是在此聲明的撤回同意之前或之後。

By instructing us in respect of any transaction relating to China Connect Securities, you acknowledge and agree that we may use your personal data for the purposes of complying with the requirements of the SEHK and its rules as in force from time to time in connection with the Stock Connect Northbound Trading. You also acknowledge that despite any subsequent purported withdrawal of consent by you, any of your personal data that we have collected before the withdrawal of consent may continue to be stored, used, disclosed, transferred and otherwise processed for the above purposes, whether before or after such purported withdrawal of consent.

如未能提供個人資料或同意書之後果 Consequences of failing to provide Personal Data or Consent

未能如上述向本行提供閣下之個人資料或同意書，可能意味著本行不會或不能，視情況而定，執行閣下的交易指示或向閣下提供本行的滬深港通北向交易服務。

Failure to provide us with your personal data or consent as described above may mean that we will not, or no longer be able, as the case may be, to carry out your trading instructions or provide you with our Stock Connect Northbound Trading Service.

客戶確認和同意 Customer Acknowledgement and Consent

本人/我們確認本人/我們已閱讀並理解上海商業銀行有限公司以上證券交易個人資料收集同意書一甲部香港證券交易及乙部滬深港通北向交易的內容。通過勾選下面的空格，本人/我們表示同意上海商業銀行有限公司根據證券交易個人資料收集同意書(香港及滬深港通北向市場)中的條款和目的使用本人/我們的個人資料，包括根據本人/我們/授權人士/授權代表的指示而提供的相關服務。本人/我們亦同時明白本人/我們可按上海商業銀行有限公司規定的方式提交書面通知以取消此同意書。此外，如本人的身分證明文件有所更新及有更優先的證明文件(詳情見以下註2)，將盡快通知上海商業銀行有限公司。

I/We acknowledge I/We have read and understand the above content of the Consent Letter of Inclusion in Personal Information Collection Statement of Shanghai Commercial Bank Limited – Part A Hong Kong Securities Trading and Part B Stock Connect Northbound Trading. By ticking the box below, I/We signify my/our consent for Shanghai Commercial Bank Limited to use my/our personal data on the terms of and for the purposes set out in the Consent Letter of Inclusion in Personal Information Collection Statement Concerning Securities Trading (Hong Kong and Stock Connect Northbound Market), the information includes all the relating services provided under the instruction(s) given by me/us/authorized person(s)/authorized representative(s). I/We also understand that I/We may revoke my/our consent by submitting a written notice in a manner prescribed by Shanghai Commercial Bank Limited. In addition, I also confirm that I would notify Shanghai Commercial Bank Limited promptly to update my identity document details in the priority as stated in Note 2 below.

本人/我們同意上海商業銀行有限公司將本人/我們個人資料用於證券交易個人資料收集同意書(香港及滬深港通北向市場)所載的目的。本人/我們亦明白及同意，當本人/我們現時或日後成為內地投資者(詳情見以下註1)，必須盡快通知上海商業銀行有限公司，並且不可通過滬深港通北向交易主動買入中華通證券。

I/We agree to Shanghai Commercial Bank Limited's use of my/our personal data for the purposes set out in the Consent Letter of Inclusion in Personal Information Collection Statement Concerning Securities Trading (Hong Kong and Stock Connect Northbound Market). I/We also understand and agree that when I/We become Mainland Investor(s) (details as described in Note 1 below) currently or in the future, I/we will promptly notify Shanghai Commercial Bank Limited, and will not proactively buy any China Connect Securities through Northbound Trading under Stock Connect.

註Notes:

- 1) 內地投資者包括(i) 持有中國內地身份證明文件的個人及(ii) 聯名帳戶持有人(如聯名帳戶持有人中有任何一方屬(i) 條規定的內地投資者)，而不包括持有前往港澳通行證(俗稱單程證)或取得境外永久居留身份證明文件的個人。於生效日前已註冊的客戶，將享有有過渡期至2023年7月23日，更多詳情以中國證監會公佈的規定為準。Mainland investors include (i) individuals that possess Mainland ID documents and (ii) holders of a joint account if one of the holders is considered as Mainland investor under (i); but not including any individual who holds a Permit for Proceeding to Hong Kong and Macao, i.e. One-way Permit (前往港澳通行證, i.e. 單程證) or who has obtained an identity document as proof of permanent residence in a country or region outside Mainland China. For customers registered before the effective date, there is a 1-year transitional period until 23 July 2023. For more details, please refer to the regulations announced by the China Securities Regulatory Commission.
- 2) 本同意書所述的“券商客戶編碼”及“客戶識別信息”具有《證券及期貨事務監察委員會持牌人或註冊人操守準則》第5.6段所界定的含義。券商客戶編碼 - 指一個符合聯交所訂明的格式及由相關持牌人或註冊人按照聯交所的規定產生的唯一識別碼
客戶識別信息 - 指與獲編配券商客戶編碼的客戶有關的以下資料：(i) 客戶的身分證明文件上所示的全名；(ii) 身分證明文件的簽發國家或司

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法管轄區；(iii) 身分證明文件類別(優先次序為(i)香港身份證；(ii)國民身分證明文件及(iii)護照)；及(iv) 身分證明文件號碼。

The terms "BCAN(s)" and "CID" used in this consent letter shall bear the meanings as defined in paragraph 5.6 of the Code of Conduct for Persons Licensed by or Registered with the SFC.

BCAN(s) - means a "Broker-to-Client Assigned Number", being a unique identification code in the format prescribed by the SEHK, generated by a relevant licensed or registered person in accordance with the SEHK's requirements.

CID - means the following information in relation to a client to whom a BCAN(s) is assigned: (i) the full name of the client as shown in the client's identity document; (ii) the issuing country or jurisdiction of the identity document; (iii) the identity document type (the order of priority is (i) Hong Kong Identity Card, (ii) national identification document and (3) passport); and (iv) the identity document number.

- 3) 如屬聯名證券戶，須以個人名義分別填寫及簽署此同意書方可生效。For joint account, the Consent will be effective only if the letters are completed and signed by each of the individuals.
- 4) 本文的中英文文本如有歧異，概以英文文本為準。In the event of any discrepancy between the English and Chinese versions of this document, the English version shall prevail.

客戶簽署 Customer Signature

客戶名稱 Customer Name

香港身份證明文件號碼 Hong Kong I.D. No.

其他身份證明文件號碼 (如沒有香港身份證) Other Identification Number (If Hong Kong I.D is not available):

證券戶賬號 Securities A/C No.

銀行專用 For Bank Use Only

Remarks:		
Received Date	Handling Unit	
Handling Staff and S.V.	Approved by (C or above)	Approved by (A)

Issued by Shanghai Commercial Bank Limited
由上海商業銀行有限公司刊印